



# CSIS POLICY: SECURITY ASSESSMENTS AND ADVICE

Secret



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French Version

Policy Centre: SSB

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## 1. INTRODUCTION

### Objective

- 1.1 The objective of the Service's policy on the provision of security assessments and advice is to ensure the Service achieves its mission by providing its external stakeholders with accurate and timely information in a manner consistent with the Service's Policy Framework and the principles outlined in this policy.

### Scope

- 1.2 This policy describes the Service's stance regarding the provision of security assessments and advice pursuant to ss. 13 and 14 of the *Canadian Security Intelligence Service Act (CSIS Act)*. It also provides additional principles and requirements that the Service and its employees will adhere to while working to achieve the commitments outlined in this policy.

### Policy Centre

- 1.3 The Security Screening Branch (SSB) is the policy centre for all matters and policy documents related to the provision of security assessments and advice.

### Definitions

- 1.4 For definitions of specific terms used in this policy, readers should refer to the "Policy Glossary".

### Guidance and Information

- 1.5 The guidance and information (e.g. checklists, templates, forms etc.) required to carry out this policy can be found in SSB or by contacting the policy centre. Procedures related to the practical application of this policy can be found in the CSIS Governance System.

## 2. SECURITY ASSESSMENTS (S.13 OF THE CSIS ACT)

- 2.1 Pursuant to s.13 of the *CSIS Act*, the Service will conduct security assessments, defined in s.2 of the *CSIS Act*, on behalf of federal and provincial government departments, police forces, and foreign states for the purpose of appraising an individual's loyalty to Canada and, so far as it relates thereto, the reliability of the individual.
- 2.2 Security Assessments will be based on the requirements outlined in the Treasury Board's Policy on Government Security (PGS) and the Personnel Security Standard (PSS).
- 2.3 Pursuant to s.15 of the *CSIS Act*, when necessary to make an accurate security assessment, the Service may use operational tools and techniques in addition to those outlined in the PGS and PSS.



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- 2.3.1 The use of additional operational tools or techniques will comply with the principles outlined in the CSIS Policy: Conduct of Operations and will be undertaken following established procedures.
- 2.4 Security assessments will include relevant information to allow clients to make an informed decision on a site access or security clearance request. Clients are responsible for evaluating all the information related to the overall application for a site access or security clearance and for making a decision accordingly.
- 2.5 To assist the client in making a fully informed decision regarding a site access or security clearance, the Service may provide security assessments in cases where information of concern regarding the subject may:
- a) meet a threshold to deny, revoke or suspend a site access or security clearance; or
  - b) not meet such a threshold, but which may be pertinent to any decision to grant, deny, revoke or suspend a site access or security clearance.
- 2.6 Before dissemination, each security assessment will be reviewed to ensure that:
- a) the information it contains is accurate and qualified;
  - b) it is unbiased and considers exculpatory information;
  - c) it is consistent with Service formatting and presentation standards;
  - d) security concerns are clearly explained and relevant;
  - e) single source information carries weight and is direct; and
  - f) Service methodology / sources are protected and targets are not named.
- 2.6.1 To assist the client in making a fully informed decision, the Service may provide:
- a) information which relates to the reliability of the subject; or
  - b) a notice that the information provided was insufficient to provide an assessment.
- 2.7 Security assessments for MOU clients will be prepared in accordance with the agreement between the Service and that entity.

### 2.8 Use of Pardoned Criminal Records

- 2.9 The RCMP is authorized to disclose pardoned criminal record information to the Service on the understanding that such disclosure applies only in the case of security assessments. It will not be extended to the process of reliability checks as defined in the Personnel Screening Standard of the Policy on Government Security (PGS).

- 2.9.1 information by the Service to a government institution for security assessment purposes



## 3. SECURITY ADVICE (S.14 OF THE CSIS ACT)


- 3.1 Pursuant to s.14 of the *CSIS Act*, the Service may provide advice regarding matters relating to the security of Canada, including threats to the security of Canada as defined in s.2 of the *CSIS Act*, with respect to a prospective visitor, refugee, immigrant or citizen. This advice may be used by Government to consider the admissibility of an individual to Canada in accordance with s.34(1) of the *Immigration and Refugee Protection Act (IRPA)*; or may be used by Government to consider eligibility for Canadian citizenship, in accordance with s. 19 of the *Citizenship Act*.
- 3.2 Pursuant to s.15 of the *CSIS Act*, the Service will conduct investigations as are required for the purpose of providing security advice. These investigations and the associated use of operational tools and techniques will comply with the principles outlined in the *CSIS Policy: Conduct of Operations*.
- 3.3 Before providing security advice, the Service will ensure that:
- a) the information to be provided is accurate and qualified;
  - b) it is unbiased and considers exculpatory information;
  - c) it is consistent with Service formatting and presentation standards;
  - d) security concerns are clearly explained and relevant;
  - e) single source information carries weight and is direct; and
  - f) Service methodology / sources are protected and targets are not named.
- 3.4 Security advice will include information relevant to the client's decision as to whether or not an individual is inadmissible to Canada or ineligible for Canadian citizenship. Clients are responsible for evaluating all the information related to the overall application and making a decision accordingly.
- 3.5 The Service may also provide information (incidental information) not relating to the security of Canada which is relevant to the client's duties or functions under the *Citizenship Act* or the *Immigration and Refugee Protection Act*. Clients are responsible for evaluating all the information related to the overall application and making a decision accordingly.





# CSIS PROCEDURES: PORT OF ENTRY INTERDICTION PROGRAM

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	Governing Policy: Security Advice and Assessments		
	Effective Date: 2014-01-10	Approved by: ADS	French version
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	Version No: 1	File No:	
	Replaces: OPS-404, OPS-408, OPS-408-1, OPS-408 Appendix 1		

## 1. OBJECTIVE

- 1.1 The objective of these procedures is to provide guidance to investigators providing threat-related information and/or operational assistance to the Canada Border Services Agency (CBSA) in support of the Port of Entry Interdiction Program (POEIP).

## 2. GENERAL DIRECTIVES

- 2.1 As part of the POEIP, the CBSA may request threat-related information and/or operational assistance from the Service to help CBSA determine, **under its own mandate**, what action should be taken with respect to an individual or at a port of entry (POE). Relevant legislation under which CBSA may render a decision includes the *Immigration and Refugee Protection Act (IRPA)* and the *Customs Act*.
- 2.2 The threat-related information the Service provides to CBSA under the POEIP is considered 'security advice' pursuant to s.14 or s.19 of the *CSIS Act*, depending on the nature of CBSA's request, and the exchange of it is governed by the principles outlined in the CSIS Policy: Security Assessments and Advice.
- 2.3 Investigators may conduct investigations, including but not limited to participating in interviews, pursuant to s.15 or s.12 of the *CSIS Act*, depending on the nature of CBSA's request, as required for the purpose of providing security advice. These interviews and the associated use of any other operational tools and techniques are governed by the principles outlined in CSIS Policy: Conduct of Operations.
- 2.4 When the CBSA requests the Service's assistance at a Port of Entry (POE) within Canada during the examination and detention of a foreign national, refugee claimant and permanent resident, every effort must be made to provide relevant, timely, threat-related information to appropriately cleared CBSA Border Services Officers (BSO) and Regional Intelligence Officers (RIOs).

## 3. RESPONSIBILITIES

- 3.1 The Security Screening Branch (SSB) is responsible for maintaining procedures pertaining to cooperation with CBSA at POEs.
- 3.2 Investigators in the region are responsible for responding to requests for assistance by CBSA and reporting the results to the appropriate HQ unit.

Replaces: OPS-404, OPS-408, OPS-408-1, OPS-408 Appendix 1

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- 3.3 are responsible for preparing and disseminating written disclosures to CBSA as required.

## 4. FOREIGN NATIONALS, PERMANENT RESIDENTS AND

- 4.1 CBSA contacts the Service to request assistance and / or information concerning an individual. Refer to section 5 for procedures in relation to refugee claims at a POE.

- 4.2 The Investigator first determines if the individual is the subject of a If  
yes, the Investigator follows the procedures for responding to If not, the  
Investigator conducts further checks to determine if the individual appears in Service indices. If the individual is negative in Service indices, or appears in a non-adverse manner, CBSA may be advised that the Service has no security concerns about the individual. A message must be  
submitted to document this interaction, with an info copy to SSB

### Individuals of Interest to the Service

- 4.3 Once a positive indices check has been completed, the Investigator can make arrangements to attend and/or assist with the CBSA-led interview of the individual in question. During the interview the Investigator may ask questions and examine exhibits. The decision on what action is to be taken, if any, with regard to the individual, remains with CBSA and is made **under its own authorities**. Investigators must keep in mind that any notes taken by the Investigator will become part of the CBSA file.
- 4.4 Upon completion of the CBSA-led interview, the Investigator immediately notifies the appropriate HQ unit and SSB of the interview and of the CBSA decision, pending a more complete report being submitted for retention
- 4.5 The report should include an account of the interview, CBSA's decision if applicable, and any information verbally provided to CBSA, and should be sent to the appropriate HQ unit with an information copy sent to SSB. Regions should ensure that the relevant SSB unit is copied on all messages relating to individuals who are not Canadian Citizens and who are likely to be referred to the Service by CBSA or CIC for immigration security screening. Regional reports should be submitted under the appropriate operational file, with a reference to Security Screening - Port of Entry Interdiction Program (POEIP).

- 4.6 If appropriate, depending on the individual circumstance, the Investigator may either request that CBSA facilitate a follow-up interview with the individual (i.e. if the individual remains in detention) or arrange a follow-up interview with the individual directly.

### Disclosure of Information to CBSA

Replaces: OPS-404, OPS-408, OPS-408-1, OPS-408 Appendix 1



## CSIS PROCEDURES: PORT OF ENTRY INTERDICTION PROGRAM

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- 4.7 If the Service holds classified information that may be of assistance to CBSA, the Investigator must obtain the necessary approvals, pursuant to OPS-601, to verbally disclose classified information to appropriately cleared CBSA personnel for **intelligence purposes only**. The verbal disclosure must be delivered with the caveats that:
- a) it is not to be used directly to support an enforcement action or in any subsequent judicial proceeding without the explicit permission of the Service; and
  - b) the nature of the information and / or how it was acquired may render it inadmissible as evidence.
- 4.8 The verbal disclosure should be limited to an identification of the area of concern (i.e. the subject is of national security interest in relation to the 'XYZ' investigation).

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- 4.9 If the classified information is deemed to be of sufficient sensitivity that a verbal disclosure would not be appropriate, a written disclosure should be provided to CBSA HQ Security Intelligence Section.

Replaces: OPS-404, OPS-408, OPS-408-1, OPS-408 Appendix 1

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- 4.9.1 In this case, the Investigator should advise the relevant HQ unit, with a copy to SSB of the requirement to provide the written disclosure to CBSA. The Investigator should also provide an account of the information exchanged or collected during the initial contact with CBSA or from an interview with the individual of interest.
- 4.9.2 The HQ unit must process the request for threat-related information on a priority basis.
- 4.10 As per paragraph 4.4.1 of OPS 601, Regional Directors General may provide written disclosure to appropriately cleared regional CBSA personnel if deemed necessary under the circumstances.
- 4.11 Unclassified information may be verbally disclosed at the discretion of the regional IO.

### Providing Information In Support of an Enforcement Action

- 4.12 If a case arises where it becomes appropriate to disclose information in direct support of an enforcement action, refer to the DDO Directive on Disclosure of Information to RCMP / Police and Other Enforcement Agencies (2010 01 13).

## 5. REFUGEES AND MIGRANT VESSELS

- 5.1 CBSA contacts the Service to request assistance and/or information concerning an individual at a POE or inland detention centre who has claimed refugee status.
- 5.2 If an Investigator is called to a POE to assist with an interview involving a current or potential refugee claimant, the Investigator follows the same process as outlined for foreign nationals or permanent residents with respect to the provision of threat-related information; that is, the information may be provided for intelligence purposes only. However, any information pertaining to the encounter should be copied to the appropriate unit.
- 5.3 If a refugee's claim is determined to be eligible, CIC or CBSA must officially request security advice pursuant to s. 14 of the *CSIS Act*. A description of the Service's Refugee security screening program (also called Front End Screening) can be found on SSB's section of
- 5.4 If necessary the individual may be convoked for a subsequent s. 15 of the *CSIS Act* interview once a security screening request has been received from CIC or CBSA.



## GUIDE BOOK FOR SECURITY SCREENING

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## GENERAL INFORMATION

The following Units are responsible for reviewing and processing Electronic and Hard Copy requests for the following different categories under the Immigration program.

Permanent Residence Outside Canada - Inland Residence  
Permanent Residence Outside Canada - Overseas Post  
Citizenship  
Citizenship Renunciation

Permanent Residence within Canada - Refugees  
Front End Screening Refugees (FES)

Permanent Residence within Canada

## **IMMIGRATION PROGRAMS**

### **PERMANENT RESIDENCE OUTSIDE CANADA INLAND RESIDENCE OVERSEAS POST**

Inland Residence and Overseas Posts requests are received from various Immigration, Refugees and Citizenship Canada (IRCC – Formerly CIC) / IPM offices. These requests are received electronically or by hard copy for individuals that are seeking permanent residence in Canada.

Each request is assigned a Security

Screening Reference Number (SSRN)

Advice for Permanent Residence from Outside of Canada (Inland Residence) Screening is valid

### **PERMANENT RESIDENCE INSIDE CANADA INLAND RESIDENCE REFUGEES**

Inland Residence requests are received electronically from CBSA via GCMS on behalf of various Immigration Offices within Canada. Each request is assigned an SSRN

Advice for Permanent Residence from Inside of Canada (Immigration or Refugees) Screening is valid

### **FRONT END SCREENING REFUGEES (FES)**

Front End Screening requests are received electronically from CBSA via GCMS on behalf of various Immigration Offices within Canada for individuals who are in-land refugee claimants who have not yet appeared in front of the Immigration and Refugee Board.

This program was implemented to ensure that all refugee claimants arriving in Canada are screened against Service databases

Each request is assigned an SSRN

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Advice for Front End Screening (FES) is valid

### CITIZENSHIP

These requests are received from CPC Sydney, N.S., on individuals that are applying for Canadian citizenship. Each request is assigned an SSRN

Canadian citizens who wish to renounce their citizenship must make a formal application to Immigration, Refugees and Citizenship Canada (IRCC). IRCC will then advise SSB, and the No additional processing is required.

Advice for Citizenship Screening is valid for Although, CPC Sydney will periodically within the period.

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## INFORMATION REQUIREMENTS

The below information is required in order to process an application.

### *For PR IN, PR OUT and FES:*

- Subject's Name, Gender, DOB, COB, POB
- Aliases
- Passport Number(s)
- Addresses (last 10 years) - (no gaps) including outside Canada (mailing address is also included)
- All Telephone Numbers (including cell phone / overseas)
- All E-mail Addresses
- Employment (last 10 years)
- Education (all post-secondary) - (institute / field of study) - (no gaps) including outside Canada
- Military
- Associations / Organizations
- Spousal / Common-law information (Name, DOB, COB, POB, Address)
- Associated Names (Family members / Sponsors) information (Name, DOB, COB, POB, current Address)

### *For Citizenship:*

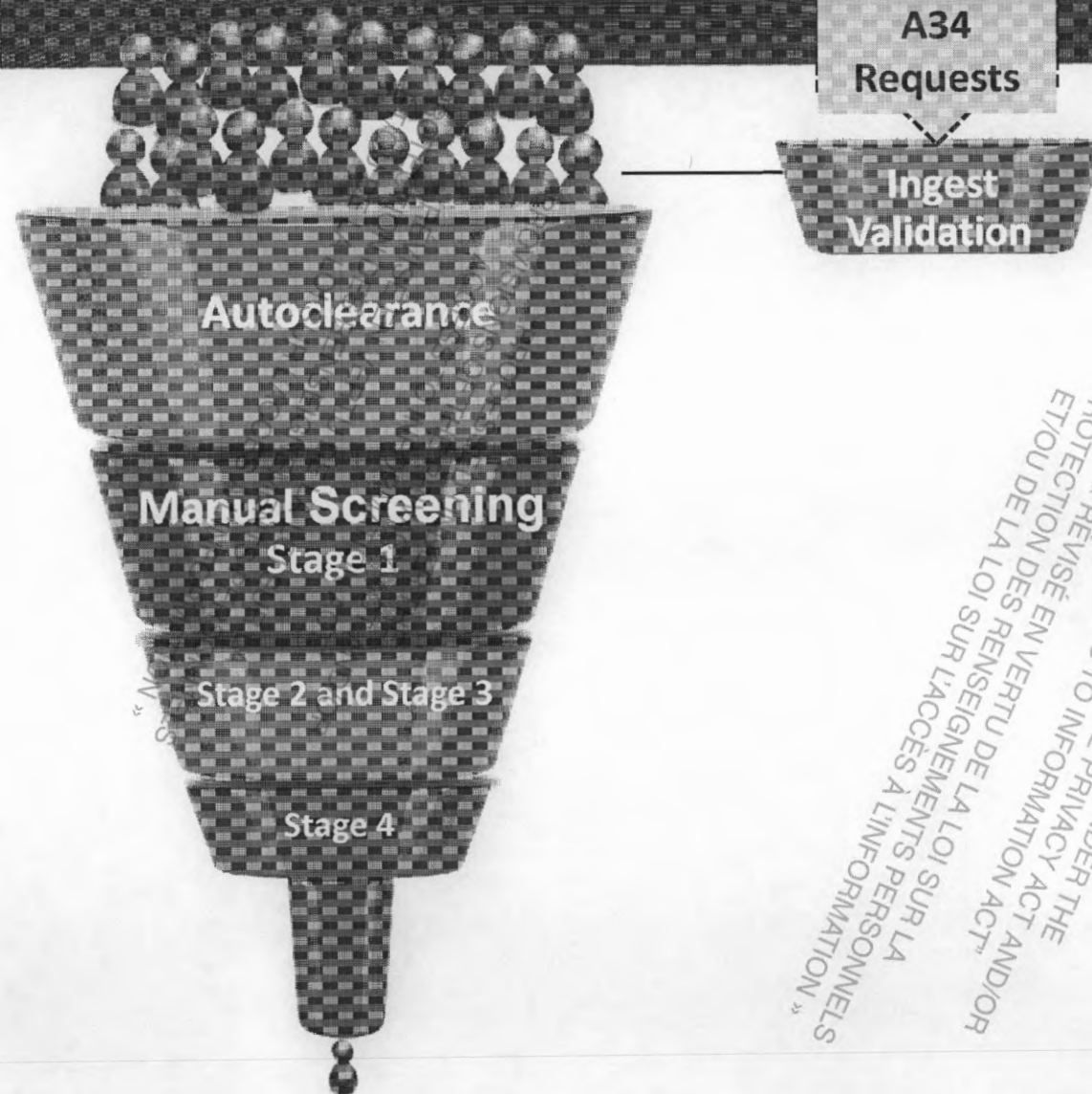
- Subject's Name, Gender, DOB, COB, POB
- Aliases
- Current Canadian Address
- Current Canadian Telephone Number

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# SECURITY SCREENING PROCESS



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